

THE OFFICE OF ENTERPRISE TECHNOLOGY STRATEGIES

Statewide Technical Architecture

Roles and Responsibilities

STATEWIDE TECHNICAL ARCHITECTURE

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Roles and Responsibilities

An explanation of the roles and responsibilities supporting the development, institutionalization, and maintenance of the North Carolina Statewide Technical Architecture to include the approval process, enforcement, custodianship, and how input from the constituency is obtained and incorporated into the body of work.

As early as March 1994, a statewide focus and direction for the management of information resources was approved by the Information Resource Management Commission (IRMC) with the approval of the Statewide Information Resource Management Principles document. In December 1996, the IRMC approved the Statewide Technical Architecture Strategy developed by the ITS Division of Enterprise Technology Strategies (ETS) formerly known as the Information Resource Management (IRM) Office. In the months following, the IRM Office developed the detailed technical architecture documents. By September 1997, all of the initial components of the Statewide Technical Architecture (STA) had been developed and approved by the IRMC. As described in the strategy document, the “architectural documentation will be dynamic and will reflect continually the evolving business and technical environments.” This points out that the body of work will require constant maintenance and research by Subject Matter Experts (SMEs). The Division of Enterprise Technology Strategies has been charged with this responsibility by the IRMC since the inception of the Statewide Technical Architecture.

Supporting the development and implementation of the architectural documentation is a governance process. This governance ensures that the agencies, subject to the technology requirements defined in the STA, have input into the development and institutionalization of the STA. This is provided through membership in the IRMC and other committees included in the approval process. This document outlines the approval process, how compliance is enforced, the custodianship, and how input from the constituency is obtained and incorporated into the STA.

Custodianship

A standard industry practice is to establish custodianship for data to ensure accountability for the collection, analysis, care, and maintenance of critical information. The STA is the basis for statewide IT decision-making; therefore the data is a critical information asset to the State of North Carolina.

The Division of Enterprise Technology Strategies (ETS) is the custodian, manager, analyst, and primary developer of the STA. ETS, through the leadership of the State CTO, maintains a staff that includes Enterprise Technical Architects who possess extensive experience in enterprise-wide technical architecture development and application. This staff also has senior level hands on experience in the technologies they are assigned as a primary focus. This staff is further enhanced through leveraging SMEs

Approval Process

The approval of the Statewide Technical Architecture is the responsibility of the IRMC. This approval is based upon the recommendation of the Technical Architecture and Project Certification Committee (TAPCC). However, to ensure that agency interests are adequately represented, prior to TAPCC and IRMC review and approval, the components of the STA are brought before the Chief Information Officers Council (CIOC) for endorsement. As illustrated in figure 3-1, each step in the process is both essential and sequential and is dependent upon the preceding approval or endorsement prior to moving forward in the process. A more detailed description of each step is illustrated in the annotated figure 3-1 and explained below:

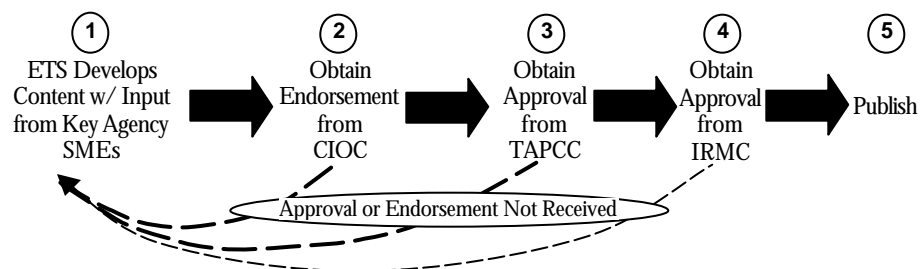


Figure 3-1 – Approval Process

- ① **Development and State CTO Approval.** Several triggers have been identified to determine when an update to the STA is required for modification and/or addition of principles, standard practices, or standards. Within this process, ETS seeks input into the development of the STA from SMEs – industry experts and within the technical community of state agencies subject to the IRMC. Standing or Ad Hoc working groups may be convened led by ETS Technical Architects. From this work a draft is developed, internal peer reviews are conducted, and a refined product is then submitted for approval of the State CTO.

This process ensures that agencies have input into the development, approval, and enforcement of the STA. The design of this process makes sure that agencies have an opportunity to express any objection to STA requirements before they are required to follow them.

- ② **Agency Review/Endorsement.** Formal endorsement from the agencies, through their respective CIO's, is essential to the acceptance and successful application of each segment of the architecture. Any updates, changes, or additions of principles, practices, and/or standards will be offered to the CIOC Chair for inclusion in the agenda of the next CIOC meeting and distribution to the committee membership. ETS will use the Statewide Technical Architecture Approval Request form for all submissions to the CIOC, TAPCC, and IRMC for additions, changes, or deletions to the STA. This form is limited to principles, standard practices, and standards. Any other STA supporting documentation requiring approval will be submitted in whole with an accompanying cover sheet explaining the action requested. If an endorsement cannot be obtained, the State CTO may progress the document to the TAPCC for approval without CIOC endorsement. Under this unlikely circumstance, the CIOC may include a statement outlining the CIOC position for TAPCC consideration.
- ③ **TAPCC Approval.** A required precursor to IRMC approval is the approval of the TAPCC. The TAPCC may also direct other committees to review and approve portions of the STA. For example, the Information Protection and Privacy Committee (IPPC) may be directed to review and approve security portions of the STA prior to IRMC approval. The State CTO will offer the document for approval and manage the approval process. Any required changes, edits, or additions to the document identified by the TAPCC will be incorporated; the TAPCC may then direct one of the following actions:
- Direct the State CTO to coordinate the required changes and return to the TAPCC for approval.
 - If the required changes are significant, the TAPCC may direct the State CTO to obtain endorsement of the required changes by the CIOC before seeking IRMC approval.
 - Approve the document provided changes are incorporated as discussed and allow the document to proceed to the IRMC for approval.

- ④ **IRMC Approval.** Once the TAPCC approves the document, the TAPCC will submit the document for IRMC approval. Any required changes, edits, or additions to the document identified by the IRMC will be incorporated; the IRMC may then direct one of the following actions:
 - Direct the State CTO to coordinate the required changes and return to the IRMC for approval.
 - If the required changes are significant, the IRMC may direct the State CTO to obtain approval of the required changes by the TAPCC.
 - Approve the document provided changes are incorporated as discussed.
- ⑤ **Publishing.** IRMC approval will initiate the final step, publishing the revision to the architecture for distribution to the state agencies and offices. Publishing will be coordinated by ETS.

Enforcement

Agencies are compelled to follow the IRMC approved STA when designing, purchasing, implementing, upgrading, or enhancing information technology.

It is important to determine compliance with the STA as early in the design, purchase, or implementation process as possible. When early determination is not possible, processes are in place to verify compliance at later stages of technology deployment. Compliance overall is determined through the following mechanisms:

- **ETS architectural review during the project certification process.**

The ETS Technical Architects review projects in the certification process for compliance with the STA. If a discrepancy is discovered, ETS will work with the agency to adjust the design to bring the project into alignment with the STA. This is documented in the Project Architecture Approval Letter from the State CTO to the project sponsor and provided to the TAPCC and IRMC.

- **Statewide IT Procurement seeks input from the ETS Office on agency technology purchases.**

The Statewide IT Procurement Office provides ETS with all Request For Proposals (RFPs), Scope Statements, and Invitation for Bids (IFBs) for review before they are posted to ensure compliance with the STA. All vendors are required to comply with the STA for products and services provided. Failure to comply may result in the purchase not being approved or the resulting agency project not being approved and funding stopped. The Statewide IT Procurement Office also provides ETS with weekly reports of all purchase requests for technical architecture review. ETS typically responds the same day with those items that require a more detailed examination. At that point, ETS

coordinates with the Statewide IT Procurement Office and the requesting agency to complete the review.

- **Statewide Technical Architecture maturity audits.**

The STA guides the state's IT decisions and meets the needs of the enterprise if, through the evaluation of metrics, it is having the desired effects, it is implemented, and it is current. Through periodic maturity audits, these conditions are evaluated and reports generated from which action plans are developed. Maturity audits must be conducted by an independent third-party; however, self-directed maturity audits may be also performed periodically. These maturity audits may find non-compliant environments. If so, ETS will inform the agency, conduct a review, and propose alternatives to the agency. If warranted, ETS will also notify the TAPCC and IRMC and provide them with the review findings and the proposed alternatives. The IRMC will then work within its purview to remedy the situation.

WAIVER

Agencies wishing to deviate from the IRMC approved STA may seek a waiver. The waiver is first submitted to ETS for review and discussion. ETS will coordinate submission to the TAPCC and then subsequently to the IRMC for approval.

If an agency has deviated from the IRMC approved STA without obtaining a waiver to do so, the IRMC may request that the project be stopped until such time that a review can be performed by ETS. ETS will submit the findings of the review to the IRMC. The IRMC may further request that the Office of Budget and Management withhold funding for the project. If the project is complete, the IRMC may ask ETS to perform a review to determine the extent of the deviation and propose alternatives to the IRMC. The IRMC will then work within its purview to remedy the situation.

REVIEW

These procedures come under the purview of the IRMC. Periodic review and updating will be under the management of the State CTO through ETS. Any changes to these procedures will require final approval of the IRMC. Procedures, unless otherwise stated, will be reviewed every three (3) years.